

E. Wagner & Associates, Inc.'s Business Continuity Planning Disclosure

E. Wagner & Associates, Inc. (the "EWAI") has developed a Business Continuity Plan on how the firm will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, the firm will have to be flexible in responding to actual events as they occur. With that in mind, EWAI are providing you with this information on its business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact the firm as you usually do at (925) 416-1200/ewagner@e-wagner.net, you should call our alternative number (925) 577-3877 or go to our web site at www.e-wagner.net. If you cannot access the firm through either of those means, you should contact the firm's clearing firm, Southwest Securities, Inc. (the "SWST") at (214) 859-1800, Chris Cervantes at (214) 859-6645 or go to their web site at www.swst.com for instructions on how SWST may provide prompt access to your account, enter orders and process other trade-related, and security transfer transactions.

Our Business Continuity Plan – EWAI plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding its employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing its customers to transact business. In short, its business continuity plan is designed to permit the firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

EWAI's business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, bank and counter-party impact; regulatory reporting; and assuring its customers prompt access to their funds and securities if EWAI is unable to continue its business.

EWAI's clearing firm, SWST, backs up the firm's important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, EWAI has been advised by its clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as soon as possible. However, the recovery time is dependent on the timing specified by the impacted organizations and affected institutions. SWST plans to be ready to open each business day until full functionality is restored. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only the firm, a single building housing the firm, the business district where the firm is located, the city where it is located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only the firm or a building housing the firm, EWAI will transfer its operations to a local site when needed and expect to recover and resume business within the same business day. In a disruption affecting its business district, city, or region, EWAI will transfer its operations to a site outside of the affected area, and recover and resume business within the same business day. In either situation, EWAI plans to continue in business, transfer operations to its clearing firm if necessary, and notify its customers through the firm's web site www.e-wagner.net. If the significant business disruption is so severe that it prevents the firm from remaining in business, EWAI will assure its customer's prompt access to their funds and securities.

For more information – If you have questions about EWAI's business continuity planning, you can contact the firm at ewagner@e-wagner.net.